



AUG 22 2001

UNITED STATES PATENT AND TRADEMARK OFFICE

MTM  
Ricoh Corp.

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/800,831	03/06/2001	Edward L. Schwartz	74451.P127D3

CONFIRMATION NO. 3688

Michael J. Mallie  
BLAKELY, SOKOLOFF,  
TAYLOR & ZAFMAN LLP  
12400 Wilshire Boulevard, Seventh Floor  
Los Angeles, CA 90025-1026

RECEIVED  
APR 23 2001

FORMALITIES LETTER



000000005981496\*

Previously Docketed

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN  
LOS ANGELES

4/23/01

Date Mailed: 04/18/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

08/22/2001 SHINASSI 00000046 09800831

01 FC 005

130.00 OP

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

A copy of this notice **MUST** be returned with the reply.

09800831 "082201  
01 FC 005

H-T

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

FD-2280-1 FEB 00 08 50



#3

Attorney's Docket No.: 74451.P127D3

Patent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: )  
 )  
 Schwartz, et al. )  
 )  
 Application No.: 09/800,831 )  
 )  
 Filed: March 6, 2001 )  
 )  
 For: METHOD AND APPARATUS FOR )  
 SELECTING LAYERS FOR QUANTIZATION )  
BASED ON SIDEBAND INFORMATION )

Assistant Commissioner for Patents  
 Box Missing Parts  
 Washington, D.C. 20231

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION  
(FILING DATE GRANTED)

Sir:

In response to the Notice to File Missing parts of Application (Filing Date  
 Granted) mailed April 18, 2001, please find enclosed:

- (1) a copy of the duly executed Declaration and Power of Attorney  
 with respect to the parent application of the above-referenced patent application;
- (2) twenty six (26) sheets of substitute drawings in compliance with 37  
 C.F.R. 1.84;
- (3) a check in the amount of \$130.00 in payment of the surcharge of 37  
 C.F.R. § 1.16(e);
- (4) a copy of the Notice to File Missing Parts of Application;

09300831-082201

(5) a Petition for a two (2) month extension of time under 37 C.F.R. § 1.136(a); and

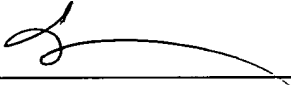
(6) a check in the amount of \$390.00 in payment of the extension of time fee.

If any additional fee is required, please charge Deposit Account No. 02-2666. A duplicate of this Response is enclosed for deposit account charging purposes.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: August 20, 2001

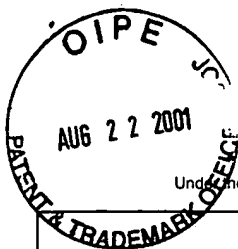
  
Michael J. Mallie  
Reg. No. 36,591

12400 Wilshire Blvd.  
Seventh Floor  
Los Angeles, CA 90025-1026  
(408) 720-8598

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

on 8/20/01  
Date of Deposit  
Mara E. Brown  
Name of Person Mailing Correspondence  
Mara E. Brown 8/20/01  
Signature Date

0900331 082201



413

SECTOR #13

PTO/SB/17(11-00)  
Approved for use through 10/31/2002. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

### FEE TRANSMITTAL FOR FY 2001

TOTAL AMOUNT OF PAYMENT (\$) 520.00

**Complete if Known:**

Application No. 09/800,831  
Filing Date March 6, 2001  
First Named Inventor Schwartz, et al.  
Group Art Unit 2621  
Examiner Name Not yet assigned  
Attorney Docket No. 74451.P127D3

**METHOD OF PAYMENT (check one)**

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 02-2666  
Deposit Account Name Blakely, Sokoloff, Taylor & Zafman LLP

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed: ☒ Check  
☐ Credit Card  
☐ Money Order  
☐ Other

**FEE CALCULATION**

**1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Code	Fee (\$)	Code	Fee (\$)		
101	710	201	355	Utility application filing fee	
106	320	206	160	Design application filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional application filing fee	
SUBTOTAL (1) \$					<u>0</u>

**2. EXTRA CLAIM FEES**

		Extra Claims	Fee from below	Fee Paid
Total Claims	<u>          </u>	- 20** = <u>          </u>	X <u>          </u>	= <u>          </u>
Independent Claims	<u>          </u>	- 3** = <u>          </u>	X <u>          </u>	= <u>          </u>
Multiple Dependent	<u>          </u>		<u>          </u>	= <u>          </u>

\*\*Or number previously paid, if greater; For Reissues, see below.

Large Entity		Small Entity		Fee Description	Fee Paid
Code	Fee (\$)	Code	Fee (\$)		
103	18	203	9	Claims in excess of 20	
102	80	202	40	Independent claims in excess of 3	
104	270	204	135	Multiple dependent claim, if not paid	
109	80	209	40	**Reissue independent claims over original patent	
110	18	210	9	**Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2) \$					<u>0</u>

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
<u>Fee Code</u>	<u>Fee (\$)</u>	<u>Fee Code</u>	<u>Fee (\$)</u>		
105	130	205	65	Surcharge - late filing fee or oath	130.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	390.00
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	For filing a submission after final rejection (see 37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (see 37 CFR 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
195	300	195	300	Publication fee for early, voluntary, or normal publication	
196	300	196	300	Publication fee for republication	
194	130	194	130	Request for voluntary publication or republication	
098	130	098	130	Processing fee under 37 CFR 1.17(i)	
091	1,240	091	1,240	Acceptance of unintentionally delayed claim for priority	

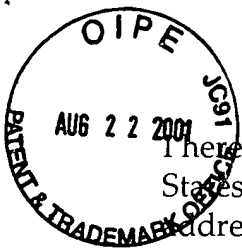
Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

**SUBTOTAL (3) \$ 520.00**

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY:**Typed or Printed Name: Michael J. MallieSignature:  Date: August 20, 2001Reg. Number: 36,591 Telephone Number: 408-720-8300**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.



# FIRST CLASS CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

on August 20, 2001

Date of Deposit

Mara E. Brown

Name of Person Mailing Correspondence

Mara E. Brown  
Signature

8/20/01  
Date

Serial/Patent No.: 09/800,831

Filing/Issue Date: 03/06/01

Client: Ricoh Corporation

Title: METHOD AND APPARATUS FOR SELECTING LAYERS FOR QUANTIZATION BASED ON SIDEBAND INFORMATION

BSTZ File No.: 74451.P127D3

Atty/Secty Initials: MJM/mzb

Date Mailed: 08/20/01

Docket Due Date: 06/18/01

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

- |  |  |  |
|--|--|--|
| <input type="checkbox"/> Amendment/Response (____ pgs.)  | <input type="checkbox"/> Express Mail No.: _____                                     | <input checked="" type="checkbox"/> Check No. <u>44781</u> |
| <input type="checkbox"/> Appeal Brief (____ pgs.) (in triplicate)                              | <input checked="" type="checkbox"/> <u>two</u> Month(s) Extension of Time            | Amt: \$ <u>130.00</u>                                      |
| <input type="checkbox"/> Application - Utility (____ pgs., with cover and abstract)            | <input type="checkbox"/> Information Disclosure Statement & PTO 1449 (____ pgs.)     | <input checked="" type="checkbox"/> Check No. <u>44782</u> |
| <input type="checkbox"/> Application - Rule 1.53(b) Continuation (____ pgs.)                   | <input type="checkbox"/> Issue Fee Transmittal                                       | Amt: \$ <u>390.00</u>                                      |
| <input type="checkbox"/> Application - Rule 1.53(b) Divisional (____ pgs.)                     | <input type="checkbox"/> Notice of Appeal  |  |
| <input type="checkbox"/> Application - Rule 1.53(b) CIP (____ pgs.)                            | <input checked="" type="checkbox"/> Petition for Extension of Time                   |  |
| <input type="checkbox"/> Application - Rule 1.53(d) CPA Transmittal (____ pgs.)                | <input type="checkbox"/> Petition for _____  |  |
| <input type="checkbox"/> Application - Design (____ pgs.)                                      | <input checked="" type="checkbox"/> Postcard   |  |
| <input type="checkbox"/> Application - PCT (____ pgs.)   | <input type="checkbox"/> Power of Attorney (____ pgs.)                               |  |
| <input type="checkbox"/> Application - Provisional (____ pgs.)                                 | <input type="checkbox"/> Preliminary Amendment (____ pgs.)                           |  |
| <input type="checkbox"/> Assignment and Cover Sheet  | <input type="checkbox"/> Reply Brief (____ pgs.)                                     |  |
| <input checked="" type="checkbox"/> Certificate of Mailing                                     | <input checked="" type="checkbox"/> Response to Notice of Missing Parts              |  |
| <input checked="" type="checkbox"/> Declaration & POA ( <u>5</u> pgs.)                         | <input type="checkbox"/> Small Entity Declaration for Indep. Inventor/Small Business |  |
| <input type="checkbox"/> Disclosure Docs & Orig & Copy of Inventor's Signed Letter (____ pgs.) | <input type="checkbox"/> Transmittal Letter, in duplicate                            |  |
| <input checked="" type="checkbox"/> Drawings: <u>26</u> # of sheets includes <u>37</u> figures | <input checked="" type="checkbox"/> Fee Transmittal, in duplicate                    |  |

☒ Other: Notice to File Missing Parts Copy.